

FORM PTO 1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371ATTORNEY DOCKET NUMBER
322-00066

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

10/019086

INTERNATIONAL APPLICATION NO.
PCT/AU00/00726INTERNATIONAL FILING DATE
27 June 2000PRIORITY DATE CLAIMED
28 June 1999TITLE OF INVENTION
METHOD OF PRODUCING A DIFFRACTIVE STRUCTURE IN SECURITY DOCUMENTSAPPLICANT(S) FOR DO/EO/US
Paul ZIENTEK

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ A English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:
 - ☐ Applicant claims small entity status.
 - ☒ Supplement to Transmittal Letter.

20019086 040902

19 DEC 2001

U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 24pt; font-weight: bold; text-align: center;">10/019086</div>		INTERNATIONAL APPLICATION NO. PCT/AU00/00726		ATTORNEY'S DOCKET NUMBER 322-00066	
21. <input checked="" type="checkbox"/> The following fees are submitted: Basic National Fee (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$ 1,040.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... \$ 890.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$ 740.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).. \$ 710.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims satisfied provisions of PCT Article 33(1)-(4)..... \$ 100.00 <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div>				CALCULATIONS PTO USE ONLY	
				\$1,040.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 C.F.R. 1.491(3)). <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30				+ 130.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	45 - 20 =	25	x \$ 18.00	+ 450.00	
Independent Claims	3 - 3 =		x \$ 84.00		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$280.00	+ 280.00	
TOTAL OF ABOVE CALCULATIONS =				\$1,900.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.					
SUBTOTAL =				\$1,900.00	
Processing fee of \$130.00 for furnishing the English Translation later than months from the earliest claimed priority date (37 C.F.R. 1.492(f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				+	
TOTAL NATIONAL FEE =				\$1,900.00	
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property				+	
TOTAL FEES ENCLOSED =				\$1,900.00	
				Amount to be refunded:	
				Charged:	
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1,900.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>01.2000</u> . A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO: ANDRUS, SCEALES, STARKE & SAWALL, LLP 100 East Wisconsin Avenue, Suite 1100 Milwaukee, Wisconsin 53202 Phone: (414) 271-7590 Fax: (414) 271-5770					
			<div style="font-size: 18pt; font-family: cursive;">Daniel D. Fetterley</div> <div style="display: flex; justify-content: space-between;"> Signature Date </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> Daniel D. Fetterley 20.323 </div> <div style="display: flex; justify-content: space-between;"> Name Reg. No. </div>		

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.53)

10/019086

INTERNATIONAL APPLICATION NO.

PCT/AU00/00726

ATTORNEY'S DOCKET NUMBER

322-00066

CERTIFICATE OF EXPRESS MAIL

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as EXPRESS MAIL-POST OFFICE TO ADDRESSEE, in an envelope addressed to: BOX PCT, COMMISSIONER OF PATENTS AND TRADEMARKS, WASHINGTON, D.C. 20231 on the 19th day of December, 2001. Express Mail Label EL812732778US.

Daniel D. Fetterley

20,323

Name

Reg. No.



12/19/01

Signature

Date

2006040" 9806T001

531 Rec'd P

10/019086

19 DEC 2001

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of)	Group Art Unit:
PAUL ZIENTEK)	Examiner:
Int'l. Appln. No. PCT/AU00/00726)	METHOD OF PRODUCING A
Int'l. Filing Date: 27 June 2000)	DIFFRACTIVE STRUCTURE IN SECURITY
)	DOCUMENTS

SUPPLEMENT TO TRANSMITTAL LETTER

Milwaukee, Wisconsin 53202
December 18, 2001

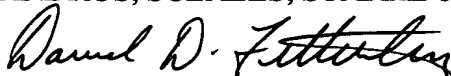
Box PCT Application
Commissioner for Patents
Washington, D.C. 20231

Sir:

Entry of this application into the National Phase in the United States is pursuant to 37 C.F.R. §1.494(c)/1.495(c). The papers include an English language specification and claims, and the drawing. The oath or declaration of the applicant is not included. The declaration will be forwarded promptly upon notification from the U.S. Patent and Trademark Office.

Respectfully submitted,

ANDRUS, SCEALES, STARKE & SAWALL, LLP

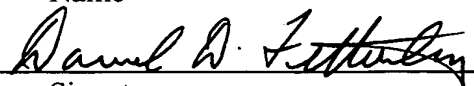


Daniel D. Fetterley (Reg. No. 20,323)

100 East Wisconsin Avenue, Suite 1100
Milwaukee, Wisconsin 53202
(414) 271-7590
Atty. Docket No.: 322-00066 (C.12053-122)

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Daniel D. Fetterley	20,323
Name	Reg. No.
	12/19/01
Signature	Date

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